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PTO/SB/05 (12/97)

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b)	
Attorney Docket No 42390.P8182	Pages <u>5</u>
First Named Inventor or Application Identifier Dan H. Nowlin	
Express Mail Label No. EL617211314US	

ADDRESS TO	2: Assistant Commissioner for Patents Box Patent Application Washington, D. C. 20231
ADDI (OATIO)	
APPLICATION	hapter 600 concerning utility patent application contents.
OCC WIT ET C	mapter 600 concerning utility patent application contents.
1. <u>X</u>	Fee Transmittal Form
	(Submit an original, and a duplicate for fee processing)
2. <u>X</u>	Specification (Total Pages
3. <u>X</u>	Drawings(s) (35 USC 113) (Total Sheets 3
4. <u>X</u>	Oath or Declaration (Total Pages <u>5 signed</u>)
	a. X Newly Executed (Original or Copy)
	b Copy from a Prior Application (37 CFR 1.63(d)) (for Continuation/Divisional with Box 17 completed) (Note Box 5 below)
	i. <u>DELETIONS OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5	Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6	Microfiche Computer Program (Appendix)

7.	Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a Computer Readable Copy b Paper Copy (identical to computer copy) c. Statement verifying identity of above copies
	c Statement verifying identity of above copies ACCOMPANYING APPLICATION PARTS
8. 9.	Assignment Papers (cover sheet & documents(s) a. 37 CFR 3.73(b) Statement (where there is an assignee)
	X b. Power of Attorney
10.	English Translation Document (if applicable)
11.	a. Information Disclosure Statement (IDS)/PTO-1449
	b. Copies of IDS Citations
12.	Preliminary Amendment
13.	X Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14.	a. Small Entity Statement(s)
	b. Statement filed in prior application, Status still proper and desired
15.	Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	X Other: Copy of postcard with Express Mail Certificate of Mailing
17.	If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: Continuation Divisional Continuation-in-part (CIP) of prior application No:
18. X	Correspondence Address Customer Number or Bar Code Label or (Insert Customer No. or Attach Bar Code Label here) Correspondence Address Below
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	Seventh Floor
CITY	Los Angeles STATE California ZIP CODE 90025-1026
Coun	try <u>U.S.A.</u> TELEPHONE <u>(408) 720-8300</u> FAX <u>(408) 720-9397</u>

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109	80	209	40	**Reissue independent claims over o	riginal patent			
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105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee	
				or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,240	241	620	Petition to revive unintentionally abandoned application	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per	
146	710	246	355	property (times number of properties) For filing a submission after final rejection	40.00
149	710	249	355	(see 37 CFR 1.129(a)) For each additional invention to be examined	·
	, 10	_73	555	(see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
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Title: MOPERAT BSTZ File No Date Mailed: The followin Appeal Brief Application - Certificate of Declaration & Dacksue Done	Intel Corporation ETHOD AND APPARATUS F(ING SYSTEM D: 42390.P8182 11/6/2000 g has been received in the U.S. Pa Response (pgs.) (pgs.) (in triplicate) Utility (16pgs., with cover and abstract) Rule 1.53(b) Continuation (pgs.) Rule 1.53(b) Divisional (pgs.) Rule 1.53(b) CIP (pgs.) Rule 1.53(d) CPA Transmittal (pgs.) PCT (pgs.) PCT (pgs.) Provisional (pgs.) Provisional (pgs.) and Cover Sheet 4 Pgs Signed		Atty/Secty Initials:	11314US on of Time 149 (_ pgs.) pgs.) pgs.) ards ep. Inventor/Small Bur	nped hereon: Check No. 38672 Amt: \$710.00 Check No. 38673 Amt: \$40.00

UNITED STATES PATENT APPLICATION

FOR

METHOD AND APPARATUS FOR BOOTING A USER-SELECTABLE OPERATING SYSTEM

Inventors:

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Prepared by:

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Attorney Docket No.: 42390.P8182

"Express Mail" mailing label number: FLW7211314US
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METHOD AND APPARATUS FOR BOOTING A USER-SELECTABLE OPERATING SYSTEM

The present invention relates to computer systems and more particularly to enabling a user to selectively boot a full or a mini operating system as the primary operating system of a computer system.

BACKGROUND

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Computer systems, from small handheld electronic devices to medium-sized mobile and desktop systems to large servers and workstations, are becoming increasingly pervasive in our society. Computer systems typically include one or more processors. A processor manipulates and controls the flow of data in a computer by executing instructions. To provide more powerful computer systems for consumers, processor designers strive to continually increase the operating speed of the processor. Unfortunately, as processor speed increases, the power consumed by the processor tends to increase as well. Historically, the power consumed by the processor, and hence its speed, has been limited by two factors. First, as power consumption increases, the processor tends to run hotter, leading to thermal dissipation problems. Second, the power consumed by a processor may tax the limits of the power supply used to keep the processor operational, reducing battery life in mobile systems and diminishing reliability while increasing cost in larger systems.

Many computer system users use their computer systems as a personal information managers (PIMs), storing calendar and personal contact information to help organize their schedules. To access this information, the user typically must power-on and boot up their computer system using their sole, large operating

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system, then launch the appropriate calendar and contact application programs.

Unfortunately, operating the computer system in this manner to access simple PIM information can be wasteful in terms of time spent waiting for the computer system to boot up and power spent supporting unused features of the operating system and unused peripheral devices.

The present invention addresses this and other problems associated with the prior art.

BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example and not limitation in the accompanying figures in which like references indicate similar elements and in which:

Figure 1 is a computer system formed in accordance with an embodiment of the present invention;

Figures 2a-2c are different embodiments of mechanical switches in accordance with embodiments of the present invention; and

Figure 3 is a flow chart showing a method of the present invention

DETAILED DESCRIPTION

In accordance with an embodiment of the present invention, a computer system includes a memory subsystem to store both a full operating system (OS) and a mini OS. The full OS may be much larger than the mini OS, and may provide more features and functionality to the computer system than the mini OS. As a

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tradeoff, however, the full OS may consume significantly more power than the mini OS (i.e. the computer system may consume significantly more power when operating on the full OS than on the mini OS). In addition, the full OS may take significantly longer to boot than the mini OS.

A feature is provided to the user to select, at power-on, which of the two operating systems the user desires to be booted as the primary OS of the system. For example, if the user only needs to use the computer as a personal information manager (PIM) to check their calendar or their address book, the user may select to boot the mini OS which supports these basic features. If, however, the user needs to use the computer to perform complex spreadsheet, networking, or word processing tasks, the user may select to boot the full OS which supports these more complex features.

Selectively reducing boot time and power consumption in this manner increases the usability, flexibility, and battery life of the computer system. A more detailed description of embodiments of the present invention, including various configurations and implementations, is provided below.

Figure 1 is a computer system formed in accordance with an embodiment of the present invention. Hub 110 couples processor 100 to memory 115 as well as to hub 125 and to one or more additional peripheral components 120 and 130, such as audio and video input/output devices. Hub 125 additionally couples other peripheral components, such as keyboard 135, hard drive 140, and memory 145, to the rest of the system. Note that a method of the present invention may be implemented by the computer system of Figure 1 programmed to execute various steps of the

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method. This program may reside, at least in part, on any computer readable medium such as a magnetic disk (e.g. a hard drive or floppy disk), an optical disk (e.g. a CD or DVD), a semiconductor device (e.g. Flash, EPROM, or RAM), or carrier wave, all of which are represented by memory components 115, 140, or 145 of Figure 1.

In accordance with one embodiment of the present invention, both the mini OS and the full OS are stored on hard drive 140 of Figure 1. The mini OS may be, in whole or in part, a subset of the full OS, or the mini OS may be an altogether different OS. For one embodiment of the present invention, the mini OS may be, for example, Windows* CE or other PIM-oriented OS, and the full OS may be, for example, Windows 2000, or other desktop-oriented OS. Both of these OSs are manufactured by Microsoft Corporation of Redmond, Washington. (*Third party marks and brands are the property of their respective owners).

In accordance with an embodiment of the present invention, the mini OS is much smaller than the full OS and boots much more quickly than the full OS. For one embodiment, the mini OS boots in less than one tenth the amount of time it takes to boot the full OS, and the mini OS is less than one tenth the size of the full OS. In addition, the mini OS consumes significantly less power than the full OS. The tradeoff, however, is that the mini OS may only support basic PIM functionality, including, for example, calendaring and address book features, whereas the full OS may support networking, complex spreadsheet and database applications, word processing, and audio and video applications.

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In accordance with an embodiment of the present invention, at power-on, boot code is loaded into memory 115 from memory 145 in the computer system of Figure 1. This boot code may include all or a portion of a basic input/output system (BIOS) code stored in non-volatile memory 145. This boot code is executed by processor 100 to determine the state of keyboard 135, or other mechanical switch, at power-on. Note that, as used herein, the term "at power-on" is intended to mean during the period of time, soon after the computer system is switched on, when the computer system determines the state of its keyboard, or other mechanical switch, for purposes of selecting which of at least two operating systems to boot, without prompting the user to make the selection. Based on the state of this mechanical switch, as set by the user, all or a portion of either the full OS or the mini OS may be loaded into memory 115 and executed by processor 100 of Figure 1.

Figures 2a-2c show different embodiments of mechanical switches in accordance with embodiments of the present invention. Figure 2a is an example in which the mechanical switch is a power switch of the computer system. As shown, the switch of Figure 2a may be placed in one of two different states at power-on. In a first state, the switch is slid to the right, and the computer system boots the full OS. In a second state, the switch is slid to the left, and the computer system boots the mini OS.

Figure 2b is an example in which the computer system is a hand-held device, and the mechanical switch includes keypad 201. A first state may be indicated by keypad 201 of Figure 2b when the user holds down (or, alternatively, refrains from holding down) one or more keys at power-on. A second state may be indicated

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when the user holds down one or more different keys at power-on. Similarly, Figure 2c is an example in which the computer system is a notebook or laptop device, and the mechanical switch includes keyboard 202. As in the case of the hand-held device of Figure 2b, a first state may be indicated by keyboard 202 of Figure 2c when the user holds down (or, alternatively, refrains from holding down) one or more keys at power-on. A second state may be indicated when the user holds down one or more different keys at power-on.

For example, for the embodiment of Figure 2c, a first state may be indicated by the user by holding down the right shift key during power-on. A second state may be indicated by holding down the left shift key during power-on. Third and fourth states may be indicated by holding down the Ctrl key or the Alt key, respectively, at power-on, while a fifth state may be indicated by not holding down any keys at power-on.

In accordance with one embodiment of the present invention, the mini OS may not provide support for the operation of all components of the computer system. For example, referring again to the computer system Figure 1, for one embodiment of the present invention, the mini OS does not support the operation of peripheral components 120 and 130. For this embodiment, to reduce boot time and power consumption, power is not applied to peripheral components 120 and 130 if it is determined, according to the state of keyboard 135, that the mini OS is to be booted.

Figure 3 is a flow chart showing a method of the present invention. At step 300, power-on occurs and the computer system attempts to determine the state of a

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mechanical switch (e.g. a multi-positional power switch, keypad, or keyboard as described above). If it is determined, at step 305, that the mechanical switch is in a first state, then the full OS may be booted as the primary OS of the computer system at step 307. If, however, it is determined, at step 305, that the mechanical switch is not in a first state, then it is determined, at step 310, if the mechanical switch is in a second state.

If it is determined, at step 310, that the mechanical switch is in the second state, then the mini OS may be booted as the primary OS of the computer system at step 312. If, however, it is determined, at step 310, that the mechanical switch is not in the second state, then it is determined, at step 315, if the mechanical switch is in a third state.

If it is determined, at step 315, that the mechanical switch is in the third state, then the full OS may be booted as the primary OS of the computer system at step 317. In addition, at step 317, in accordance with one embodiment of the present invention, the full OS is made the default OS. This may be accomplished by storing, in a storage location of the computer system that is accessible during the pre-boot period, a pointer to the address location of the full OS in hard drive 140 of Figure 1. The storage location of this pointer may be, for example, memory 145, where other boot code is stored. In accordance with an alternate embodiment of the present invention, the default OS may be selected by the user during a previous, post-boot work session on the computer system using the appropriate OS tools.

Referring again to Figure 3, if it is determined, at step 315, that the mechanical switch is not in the third state, then it is determined, at step 320, if the

mechanical switch is in a fourth state. If the mechanical switch is in the fourth state, then the mini OS may be booted as the primary OS of the computer system at step 322. In addition, at step 322, in accordance with one embodiment of the present invention, the mini OS is made the default OS by, for example, storing a pointer to the address location of the mini OS in a non-volatile storage location.

If, however, it is determined, at step 320, that the mechanical switch is not in the fourth state, then, at step 325, the default OS is booted as the primary OS of the computer system. This default OS is determined by accessing the storage location in which the above-described pointer is stored.

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This invention has been described with reference to specific exemplary embodiments thereof. It will, however, be evident to persons having the benefit of this disclosure that various modifications and changes may be made to these embodiments without departing from the broader spirit and scope of the invention. The specification and drawings are, accordingly, to be regarded in an illustrative rather than a restrictive sense.

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CLAIMS

What is claimed is:

 1. A computer system co 	mprising:
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- a first memory subsystem to store a full operating system (OS) and a mini operating system;
- a mechanical switch having a first state and a second state;
- a first circuit to execute a boot code and to determine a state of the mechanical switch at power-on; and
- a second circuit to boot the full OS as a primary OS of the computer

 system if the first circuit determines that the mechanical switch is in the

 first state at power-on and to boot the mini OS as the primary OS of

 the computer system if the first circuit determines that the mechanical

 switch is in the second state at power-on.
 - 2. The computer system of claim 1, further comprising a storage location to store a pointer to a default OS.
 - The computer system of claim 2, wherein the mechanical switch has a third state, the second circuit to boot the default OS as the primary OS of the computer system if the first circuit determines that the mechanical switch is in the third state at power-on.

- The computer system of claim 2, wherein the mechanical switch has a third
 state and a fourth state, the second circuit to boot the full OS as the primary
 OS of the computer system and to make the full OS the default OS if the first
 circuit determines that the mechanical switch is in the third state at power-on,
 and to boot the mini OS as the primary OS of the computer system and to
 make the mini OS the default OS if the first circuit determines that the
 mechanical switch is in the fourth state at power-on.
- The computer system of claim 1, wherein the first circuit includes a processor, and the second circuit includes the processor and a second memory subsystem into which at least a portion of the full OS or the mini OS is loaded if the mechanical switch is in the first state or the second state, respectively, at power-on.
- The computer system of claim 3, wherein the first circuit includes a processor, and the second circuit includes the processor and a second memory subsystem into which at least a portion of the full OS or the mini OS is loaded if the mechanical switch is in the first state or the second state, respectively, at power-on.
- 7. The computer system of claim 1, wherein the mechanical switch is a
 keyboard.

- 1 8. The computer system of claim 1, wherein the mechanical switch is a power 2 switch.
- The computer system of claim 1, wherein the full OS takes at least ten times longer to boot than the mini OS, and the full OS is at least ten times the size of the mini OS.
- 1 10. The computer system of claim 1, wherein the mini OS is a subset of the full OS.
- 1 11. A method comprising:

on.

- enabling a user to boot a full operating system (OS) as a primary OS on a

 computer system by placing a mechanical switch in a first state at

 power-on; and

 enabling the user to boot a mini OS as the primary OS on the computer

 system by placing the mechanical switch in a second state at power-
- 1 12. The method of claim 11, further comprising enabling the user to boot a
 2 default OS as the primary OS on the computer system by placing the
 3 mechanical switch in a third state at power-on, the default OS being either the
 4 full OS or the mini OS based on user-defined setting in the computer system.

- 1 13. The method of claim 12, further comprising:
 enabling the user to boot the full OS as the primary OS on the computer
- 3 system and to make the full OS the default OS by placing the
- 4 mechanical switch in a fourth state at power-on; and
- 5 enabling the user to boot the mini OS as the primary OS on the computer
- 6 system and to make the mini OS the default OS by placing the
- 7 mechanical switch in a fifth state at power-on.
- 1 14. The method of claim 11, wherein placing the mechanical switch in the first
- 2 state includes holding down one or more first keys, and placing the
- 3 mechanical switch in the second state includes holding down one or more
- 4 second keys.
- 1 15. The method of claim 11, wherein placing the mechanical switch in the first
- state includes sliding the mechanical switch to a first position.
- 1 16. The method of claim 15, wherein the mechanical switch is a power switch of
- 2 the computer system.
- 1 17. The method of claim 15, wherein placing the mechanical switch in the second
- 2 state includes sliding the mechanical switch to a second position.

1	18.	The method of claim 17, wherein the mechanical switch is a power switch of
2		the computer system.
1	19.	A computer system programmed to implement the method of claim 11.
2		
1	20.	A computer system programmed to implement the method of claim 12.
2		
1	21.	A computer-readable medium including a plurality of instructions readable
2		therefrom, the instructions, when executed by a computer system, cause the
3		computer system to perform operations comprising:
4		determining a state of a mechanical switch at power-on;
5		booting a full operating system (OS) as a primary OS on the computer
6		system if it is determined that the mechanical switch is in a first state at
7		power-on; and
8		booting a mini OS as the primary OS on the computer system if it is
9		determined that the mechanical switch is in a second state at power-
10		on.

The computer readable medium of claim 21, wherein the operations further
comprise booting a default OS as the primary OS of the computer system if it
is determined that the mechanical switch is in a third state at power-on.

1	23.	The computer readable medium of claim 22, wherein the operations further
2		comprise:
3		booting the full OS as the primary OS on the computer system and
4	ŧ	making the full OS the default OS if it is determined that the
5		mechanical switch is in a fourth state at power-on; and
6		booting the mini OS as the primary OS on the computer system and
7		making the mini OS the default OS if it is determined that the
8		mechanical switch is in a fifth state at power-on.

The computer readable medium of claim 21, wherein booting the full OS takes at least ten times longer than booting the mini OS, and the mini OS is a subset of the full OS.

ABSTRACT OF THE DISCLOSURE

A computer system includes a memory subsystem to store both a full operating system and a mini operating system. The mini operating system boots much more quickly than the full operating system, and may be a subset of the full operating system. A mechanical switch is provided to the user to select, at power-on, which of the two operating systems the user desires to be booted.

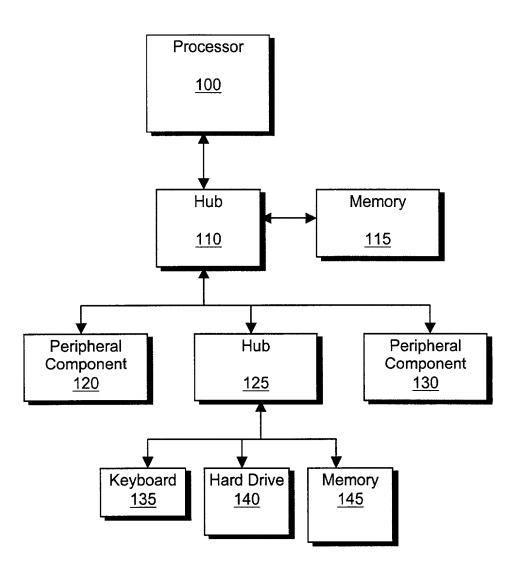


Figure 1

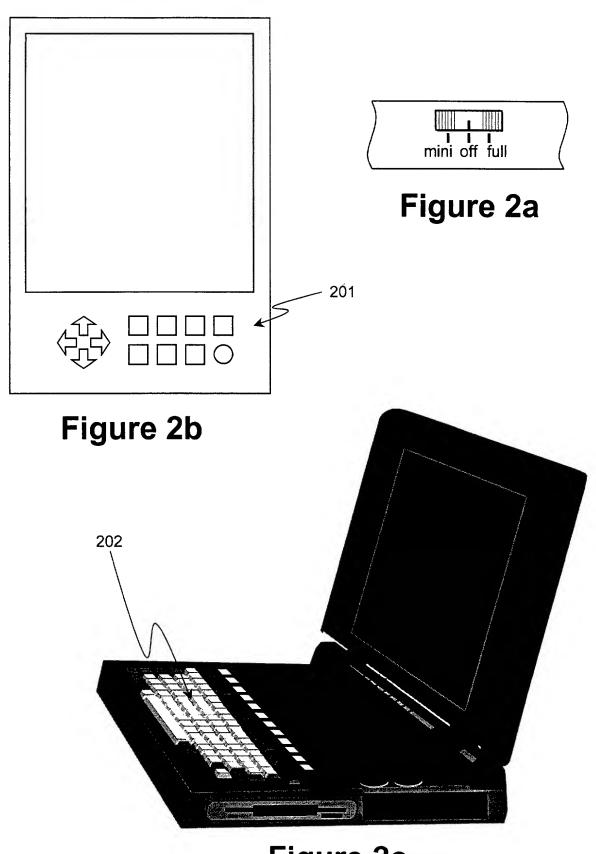
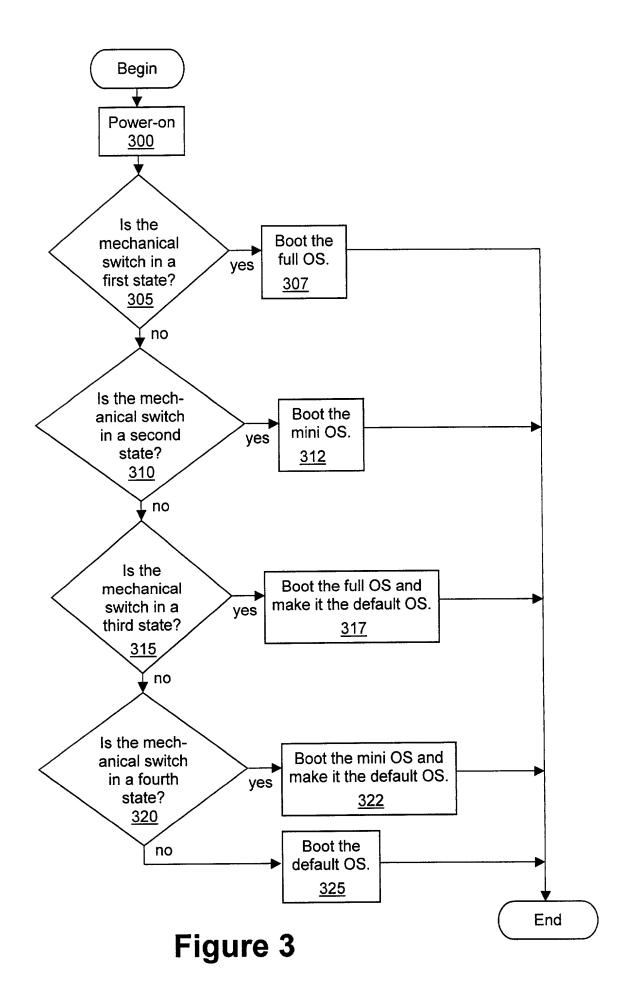


Figure 2c



Attorney's Docket No.: 42390.P8182 PATENT

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION (FOR INTEL CORPORATION PATENT APPLICATIONS)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND APPARATUS FOR BOOTING A USER-SELECTABLE OPERATING SYSTEM

the specification of which

______ is attached hereto.
_____ was filed on ______ as
_____ United States Application Number _____ or PCT International Application Number _____ and was amended on (MM/DD/YYYY) _____ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s	3)			ority <u>aimed</u>
(Number)	(Country)	(Foreign Filing Da		s No
(Number)	(Country)	(Foreign Filing Daniel MM/DD/YYYY)		s No
(Number)	(Country)	(Foreign Filing D	Pate - Ye	s No
I hereby claim the benefit uprovisional application(s) li		States Code, Section 1	19(e) of any Unite	d States
Application Number	(Filing Date	- MM/DD/YYYY)		
Application Number	(Filing Date	- MM/DD/YYYY)		
I hereby claim the benefit of application(s) listed below is not disclosed in the prior of Title 35, United States County to me to be material Section 1.56 which becam or PCT international filing of	and, insofar as the sub United States applica Code, Section 112, I ac I to patentability as def e available between th	pject matter of each of to tion in the manner prov knowledge the duty to ined in Title 37, Code of e filing date of the prior	the claims of this a rided by the first p disclose all inform of Federal Regula	applicatior aragraph nation tions,
Application Number	(Filing Date – MM/	DD/YYYY) Status -	patented, pending, aband	oned
Application Number	(Filing Date – MM/	DD/YYYY) Status	patented, pending, aband	oned

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.	
Send correspondence to <u>David J. Kaplan</u> , BLAKELY, SOKOLOFF, TAYLOR & (Name of Attorney or Agent) ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to <u>David J. Kaplan</u> , (408) 720-8300. (Name of Attorney or Agent)	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. Full Name of Sole/First Inventor Dan H. Nowlin	
Inventor's Signature Dan Powlin Ja. Residence Hillsboro, Oregon (City, State)	Date 10-25-2000
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(City, State) Post Office Address <u>2017 SE Arlington Loop</u> <u>Hillsboro, Oregon 97123</u>	(Country)
Full Name of Second/Joint Inventor	And the second s
Inventor's Signature	Date
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Post Office Address	
Full Name of Third/Joint Inventor	
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Residence(City, State)	_ Citizenship(Country)
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APPENDIX A

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APPENDIX B

Title 37, Code of Federal Regulations, Section 1.56 <u>Duty to Disclose Information Material to Patentability</u>

- (a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclosure information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclosure all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
 - (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made or record in the application, and
- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
 - (2) It refutes, or is inconsistent with, a position the applicant takes in:
 - (i) Opposing an argument of unpatentability relied on by the Office, or
 - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:
 - (1) Each inventor named in the application;
 - (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

INTEL CORPORATION